



August 29, 2001

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To: Primary Home Care/Family Care (PHC/FC) Providers  
Community Based Alternatives Home and Community Support  
Services (CBA-HCSS) Providers

Subject: Long Term Care  
Information Letter 01-07  
Location of Records For Monitoring Reviews

The purpose of this letter is to inform Primary Home Care/Family Care (PHC/FC) providers and Community Based Alternatives Home and Community Support Service (CBA-HCSS) providers of requirements regarding location of records in relation to fiscal and compliance monitoring reviews. This policy is effective immediately.

**One or More Licensed Offices Located in the Same DHS Region**

The following applies when a provider has one or more licensed office(s) that support the contract scheduled for monitoring, and all the licensed offices supporting the contract are in the same DHS region where the contract is held.

The provider must have client records available at each licensed office location for clients served by the licensed office for the required months of review. Client records, both active and inactive, must be made available at the licensed sites.

**One or More Licensed Offices; At Least One Licensed Office Located Outside the Region**

The following applies when the contract has one or more licensed office(s) that support the contract scheduled for monitoring and at least one of the licensed offices supporting the contract is located outside the DHS region where the contract is held:

### **Multiple Licensed Sites**

The review team(s) may choose to split up and cover all licensed sites simultaneously or visit licensed sites sequentially. If the contract is supported by two or more licenses, the provider agency must provide a comprehensive list of clients supported by each license within two DHS workdays of request by DHS.

If not all support documents corresponding to the onside client records are available at the review site (for example, records such as attendant time records), the provider must send these support documents via facsimile to the contract review site within two hours of being asked for the record. The original copies of the support documents must be made available at the review site within 24 hours.

If the client records and the accounting records are at different locations in the region, contract managers/review teams will conduct the monitoring at the different locations. The compliance monitoring will be conducted at the licensed office(s) where client records exist. Fiscal monitoring will be conducted at the location where the accounting records are kept with a separate random client sample.

When accounting records are at licensed offices located outside the region where the contract is held, regional DHS staff may negotiate with the DHS region where the licensed office is located to arrive at a strategy for completing the review. Records in the licensed office may be reviewed either by staff from the DHS region where the contract is held or by staff from the DHS region where the licensed office is located.

### **Failure to Provide Information to DHS**

A provider agency's failure to provide information to DHS as outlined in this letter may result in DHS taking adverse action against the agency's contract, up to and including termination.

If you have any questions regarding this matter, please contact your contract manager.

Sincerely,

[signature on file]

Becky Beechinor  
Assistant Deputy Commissioner  
Long Term Care Services

BB:me